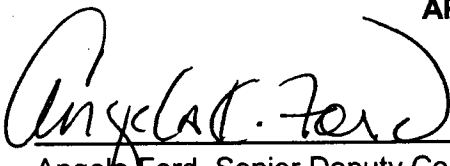


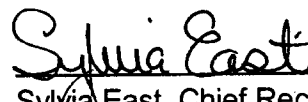
PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

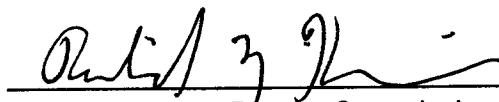
**DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
INVESTIGATIONS DIVISION**

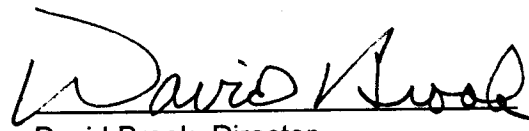
Amend the program records retention and disposition schedule approved April 7, 2000 by amending item 3403 as shown on the included schedule and by adding item 47452. No other items on this schedule have been amended, added, or removed.

**APPROVAL RECOMMENDED**

  
Angela Ford, Senior Deputy Commissioner  
Public Services Group

  
Sylvia East, Chief Records Officer  
Department of Insurance

  
Richard Z. Kinn, Deputy Commissioner  
Investigations Division

  
David Brook, Director  
Division of Historical Resources

**APPROVED**

  
James E. Long, Commissioner  
Department of Insurance

  
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

July 15, 2005

CSB

**DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
INVESTIGATIONS DIVISION**

**Item 3403. FRAUD INVESTIGATIONS FILE.** Records in paper and electronic formats concerning the investigation of alleged insurance fraud. File includes correspondence; insurance claims; interview, status, closing reports; and other related records. (Comply with applicable provisions of G.S. 15A-904 and 58-2-100 regarding the confidentiality of fraud investigation records.) [Amended 07/15/05]

DISPOSITION INSTRUCTIONS: Print and interfile electronic records with related paper records. Destroy electronic records once they have been printed and interfiled. Transfer paper records to the State Records Center 3 years after case is closed. Records will be held for agency in the State Records Center 25 additional years and then destroyed.

**Item 11679. PENDING DOCUMENTS FILE.** Records concerning complaints of possible insurance fraud which are pending further documentation. File includes complaints and allegations, correspondence, memorandums, insurance claims, and other related records. (Comply with applicable provisions of G.S. 15A-904 and 58-2-100 regarding the confidentiality of fraud investigation records.)

DISPOSITION INSTRUCTIONS: Transfer records concerning continuing investigations to the Fraud Investigations File (3403) when investigation is officially opened. Transfer records concerning referred investigations to the Referral File (Item 44597) when investigation is referred to an outside agency. Transfer remaining records to the Closed ID-1 File (Item 44588) when case is closed.

**Item 44588. CLOSED ID-1 FILE.** Records concerning allegations of insurance fraud that are not investigated. File includes complaints and allegations, correspondence, memorandums, insurance claims, and other related records. (Comply with applicable provisions of G.S. 15A-904 and 58-2-100 regarding the confidentiality of fraud investigation records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**Item 44589. COMPLAINT TRACKING DATABASE (ELECTRONIC) FILE.** Machine readable records concerning the tracking of complaints received by the agency for investigation. Electronic file includes dates complaint received, review committee assignments, actions taken, and other related data. File also includes backup records.

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update weekly. Erase/destroy in office backup records monthly. Retain in office remaining records permanently.

**DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
INVESTIGATIONS DIVISION**

**Item 44590. CRIMINAL JUSTICE STANDARDS FILE.** Records concerning the maintenance of law enforcement certification by agency staff. File includes continuing standards verification forms (F1 through F15), psychological evaluations, immunization records, oaths of office, school transcripts, reference copies of diplomas, and other related records. (Comply with applicable provisions of G.S. 131E-97 regarding the confidentiality of medical records and with 20 USCA 1232g regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 3 years after employee terminates service. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**Item 44592. FIREARMS INSTRUCTION FILE.** Records concerning the results of biannual Firearms Qualifications. File includes class results, curriculum development materials, reference copies of relevant legislation, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**Item 44593. INVESTIGATORS' REPORTS FILE.** Reference copies of reports from preliminary reviews and full investigations.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**Item 44596. PRELIMINARY INVESTIGATION FILE.** Records concerning the preliminary investigation of allegations of insurance fraud. File includes complaints and allegations, correspondence, memorandums, insurance claims, and other related records. (Comply with applicable provisions of G.S. 15A-904 and 58-2-100 regarding the confidentiality of fraud investigation records.)

DISPOSITION INSTRUCTIONS: Transfer records concerning continuing investigations to the Fraud Investigations File (Item 3403) when investigation is officially opened. Transfer records concerning referred investigations to the Referral File (Item 44597) when investigation is referred to an outside agency. Transfer remaining records to the Closed ID-1 File (Item 44588) when case is closed.

**Item 44597. REFERRAL FILE.** Records concerning investigations that are referred to other agencies. File includes complaints and allegations, correspondence, memorandums, insurance claims, and other related records. (Comply with applicable provisions of G.S. 15A-904 and 58-2-100 regarding the confidentiality of fraud investigation records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**DEPARTMENT OF INSURANCE  
PUBLIC SERVICES GROUP  
INVESTIGATIONS DIVISION**

**Item 47452. FRAUD INVESTIGATIONS SURVEILLANCE (Other Media) (Electronic)**

**FILE.** Records in magnetic tape, optical disc, and other related media concerning recordings of surveillance associated with insurance fraud investigations. (For related paper records see Fraud Investigations File, Item 3403.) (Comply with applicable provisions of G.S. 15A-904 and 58-2-100 regarding the confidentiality of fraud investigation records.)

**DISPOSITION INSTRUCTIONS:** Transfer records to the State Records Center 3 years after case is closed. Records will be held for agency in the State Records Center 10 additional years and then destroyed. (Creating agency assumes all responsibility for refreshing/migrating information stored in electronic, magnetic, and other non-traditional formats.)